

HISTORIC PRESERVATION GRANT MANUAL

FOR EDUCATION, IDENTIFICATION OF HISTORIC PROPERTIES, REGISTRATION/NOMINATION, PREDEVELOPMENT ACTIVITIES AND ARCHAEOLOGICAL SURVEY

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Office for Equal Opportunity
National Park Service
1849 C Street, N. W.
Washington, D. C. 20240

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INTRODUCTION

The National Historic Preservation Act of 1966 (Chapter 23, U.S. Code, section 470) provides matching funds for projects designed to facilitate the preservation of districts, sites, buildings, structures, and objects significant in American history, architecture, archaeology, engineering and culture. In Michigan, the program is administered by the Michigan Department of History, Arts and Libraries pursuant to Public Act 271 of 1913, being sections 399.1 et seq. of the Michigan Compiled Laws.

The Michigan Historical Center is requesting applications for Historic Preservation Fund grants. These federal funds are received from the National Park Service and are administered by the Michigan Historical Center, which houses the State Historic Preservation Office (SHPO).

The purpose of the Historic Preservation Fund grants is to identify, register, and protect resources eligible for the National Register of Historic Places. The funds that are subgranted help to strengthen preservation at the local level.

Of the \$800,000 estimated to be allocated to the Michigan SHPO, approximately \$80,000 will be subgranted to Certified Local Governments (CLGs). **Unless the amount of funding available is increased by Congress, only CLG subgrants will be awarded. CLG's may sponsor projects for non-profit organizations and public entities within their jurisdiction.**

Awards range between \$5,000 and \$30,000 and have a 60/40 matching requirement. In 2000/2001 of the 7 CLG grant applications submitted, 6 projects were funded for a total of \$176,000.

WHO CAN APPLY

Federal law requires that 10 percent of the annual HPF allocation be set aside for local units of government that have been certified by the National Park Service. CLGs may apply for any of the project types described below.

To become a CLG, a government must have a local historic district ordinance and a historic district commission with binding design review authority to protect designated historic districts that are established, or are planned in the future. A full description of this program is in [The Certified Local Government Program in Michigan](#). To receive a copy of this manual, return the "check off" portion of the last page of this mailing.

HOW TO APPLY

Applications must be postmarked no later than November 30, 2001. Send one copy of the application to: Michigan Historical Center, State Historic Preservation Office, 717 West Allegan Street, Lansing, MI 48918-1800.

We recommend you discuss your draft proposal with SHPO staff. Please send one copy of the proposed scope of work, including a map for identification or nomination projects, and the budget.

Draft proposals should be mailed to the SHPO by August 30, 2001.

AWARDING GRANTS

As soon as the National Park Service notifies the state of its FY02 award, we will notify applicants about the status of their applications.

If the application is funded, a contract awarding the funds will be executed. Work must be under contract during the 2001/2002 fiscal year (October 1 to September 30) and must be completed by June 2003. Work cannot begin before a contract has been executed. Expenses incurred prior to the execution of a contract are not allowable costs.

Because Historic Preservation Fund grants are paid on a reimbursement basis, sufficient funds must be available to complete project work. After financial documentation has been approved, payment is processed for project costs up to 60 percent, not to exceed the federal funds reserved for the project.

Unallowable costs include but are not limited to:

1. Archaeological salvage
2. Entertainment
3. Fines, penalties, debts and interest
4. Fundraising
5. Equipment
6. Historical Markers
7. Lobbying

Scoring

All projects will be competitively scored by SHPO staff. Final selections will be based on the highest scores as adjusted by administrative capability. The criteria to be used in scoring FY02 applications is described below.

The SHPO reviews and revises scoring criteria annually. If you have comments on the criteria, please mail them to the State Historic Preservation Office at the address noted above.

ADMINISTRATIVE SCORING CRITERIA

Budget is clearly defined and costs are eligible

Costs are reasonable for proposed work

Match is clearly defined and eligible

Priority will be given to projects that the federal share exceed \$5,000

Match is cash

Scope of work is clearly defined and eligible

Sponsor is a unit of government or other clearly defined organization with administrative capability

Grant applicant has experience in managing federal funds

Recent Historic Preservation Fund grant was well managed

Applications must be accompanied by a letter of support from the historic district commission

Applications that are incomplete or late will receive negative points

PUBLIC EDUCATION SCORING CRITERIA

Increasing public knowledge of Michigan's historic resources and the benefits of historic preservation is the top priority for the preservation program. All education projects receive bonus points. A wide variety of projects could be considered including:

Curriculum development for local history and its relationship to the area's historic resources. Focus should be on elementary students

Development of web pages focusing on local historic resources

Publications, lecture series or workshops on preservation topics. These must be provided free of charge.

A welcoming package for new property owners in a historic district including information on when city approval is needed for changes and the steps needed to obtain a certificate of appropriateness

The criteria for public education projects:

Projects that expand the knowledge of minority history or are targeted at a minority group, or projects that are cooperative ventures with other communities will receive bonus points.

Targets K-12 schools or other youth-oriented programs

Defines the product, the audience and mechanism for distribution of the material produced

Product will have continued use and encourage preservation

Promotes the Secretary of the Interior's Standards and Guidelines

Demonstrates a sound justification for the proposed project and planned use for the product

Continuing phase in successful multi-phased project or is likely to generate future preservation opportunities

Involves innovative methods or activities that explore productive new directions in preservation

IDENTIFICATION SCORING CRITERIA

All documents produced are added to the permanent inventory at the SHPO. Grant recipients must identify, document and evaluate resources according to SHPO standards. The project budget should include the cost of making copies of survey data for local use.

The criteria for identification projects:

Project personnel must meet federally defined qualifications (36CFR61). Projects that do not demonstrate that the work will be done by qualified individuals will not be scored.

Projects that expand the knowledge of minority history, projects based on historic themes, and archaeology projects on public lands will receive bonus points

Reconnaissance level survey with associated context development sufficient for evaluation of resources, or where surveys performed prior to 1980

Intensive level survey that follows within 10 years of reconnaissance survey

Yields survey data for areas of the state experiencing developmental pressure or focus on areas having a high probability of eligible resources; consult Preservation Shore to Shore or SHPO staff

Addresses priority or under-represented themes, time periods and classes: such as ethnic heritage, education, entertainment/recreation, landscape architecture, and industry; the time period 1930-1960 to the present; and the resource classes of sites and structures and objects

Intensive-level survey, especially that which includes nominations to the National Register of Historic Places or a study committee report and archaeological reconnaissance survey are priorities

Project follows a locally funded reconnaissance survey or results will be incorporated into the community master plan or GIS.

Continuing phase in successful multi-phased project which previously received grant funding

REGISTRATION SCORING CRITERIA

Nomination projects may include the preparation of single site, historic district or multiple property nominations to the National Register of Historic Places

The criteria for nomination projects:

Project personnel must meet federally defined qualifications (36CFR61). Projects that do not demonstrate that the work will be done by qualified individuals will not be scored.

Projects which expand the knowledge of minority history will receive bonus points

District nominations will receive the most points; then in priority order: multiple property nominations that include at least one district, archaeological nominations and individual nominations

Addresses priority or under-represented themes, time periods and classes: such as ethnic heritage, education, entertainment/recreation, landscape architecture, and industry; the time period 1930-1960 to the present; and the resource classes of sites and structures and objects

Demonstrates a sound justification for the proposed project and the nomination has community/owner support

Continuing phase in successful multi-phased project or will be integrated into the planning process

Yields nominations from counties as yet represented by few or no resources listed in the National Register of Historic Places; consult Preservation Shore to Shore or SHPO staff

Yields nominations for an area experiencing developmental pressure or will focus on an area having a high probability of eligible resources; consult Preservation Shore to Shore or SHPO staff

PLANNING SCORING CRITERIA

Planning projects use historic contexts as the basis for resource identification, evaluation, registration, and establish management goals and priorities for preservation efforts. Archaeology planning projects include assessment of survey, protection, and management needs for a city, county, or region.

The criteria for planning projects:

Project personnel must meet federally defined qualifications (36CFR61). Projects that do not demonstrate that the work will be done by qualified individuals will not be scored.

Projects that expand the knowledge of minority history will receive bonus points

Supported by the local unit and is likely to be adopted into local planning process

Follows the logical order of identification, evaluation, registration and protection

Yields planning documents for areas of the state experiencing developmental pressure or focuses on an area having a high percentage of eligible resources; consult Preservation Shore to Shore or SHPO staff

Results in a plan, historic district study committee report, historic district ordinance or other activity to manage and protect significant historic resources

Demonstrates a sound justification for the proposed project and planned use for the product

Continuing phase in successful multi-phased project or will be integrated into the planning process
Involves innovative methods or activities that explore productive new directions for preservation

RESTORATION PLANNING SCORING CRITERIA

Restoration planning projects might include a variety of projects such as plans and specifications, feasibility studies, facade recommendations or marketing studies. Buildings must be individually listed or be a contributing building in a district listed in the National Register of Historic Places.

The criteria for restoration planning projects:

It is recommended that an architect meeting federally defined qualifications (36CFR61) for historic architecture be competitively selected to do the work.

Projects that directly benefit minority, low income, handicapped groups or that protect a national register-listed archaeological site will receive bonus points

Protects resources threatened by demolition, neglect or policy change

Protects prominent structures in a community (public institutions and municipal properties receive more points than a commercial structure)

Has a beneficial impact on the preservation of a resource

Protects resources with a high level of significance (National Historic Landmark or buildings individually listed in the national register will receive the most points)

Proposed use is compatible with the resource

RESTORATION SCORING CRITERIA

Building must be individually listed or be a contributing building in a district listed in the National Register of Historic Places. If interior work is included, the building must be owned by a public agency or a non-profit and be open to the public at a minimum of four days a month.

The criteria for restoration projects:

Projects that directly benefit minority, low income, handicapped groups

Plans and specifications must meet the Secretary of the Interior's Standards and be submitted with the application

Protects resources threatened by demolition, neglect or policy change

Has a large impact on the structure (structural stabilization or corrects problems to avoid further damage, allows continued use)

Has a beneficial impact on a resource

Protects resources with a high level of significance (National Historic Landmark or buildings individually listed in the national register will receive the most points)

Proposed use is compatible with the resource

SHPO STAFF

The following staff work with Historic Preservation Fund grants and would be happy to assist you with the development of your application. Fax (517) 335-0348

Archaeology

John Halsey, State Archaeologist (517) 373-6358

Barbara Mead, Assistant State Archaeologist (517) 373-6416

Dean Anderson, Historical Archaeologist (517) 373-1618

State Historic Preservation Office

Brian Conway, State Historic Preservation Officer (517) 373-0511

Robert Christensen, National Register of Historic Places (517) 335-2719

Amy Arnold, CLG, Survey and Planning (517) 335-2729

Robbert McKay, Restoration Planning and Restoration (517) 335-2727

Teresa Goforth, Grants Manager (517) 335-2722

For SHPO information on the web: www.sos.state.mi.us/history/preserve/preserve.html

This is a shortened version of the FY02 Historic Preservation Fund grant announcement. For information on other types of projects, contact the SHPO. This manual was prepared to assist you in the preparation of an application and includes reference to some but not all of the state and federal laws which govern the program. Other laws and federal regulations may be applicable although not specifically noted in this manual. It will also be used by grant recipients in administering these funds. **It is incumbent upon each grant applicant to read this manual and to become familiar with its contents.** Any questions which are not covered in the manual should be directed to the staff of the SHPO.

Michigan Department of History, Arts and Libraries
Michigan Historical Center
717 W. Allegan
Lansing, MI 48918-1800

CHAPTER 1

GRANT APPLICATION

Consult the chapters on general conditions, allowable costs, matching share, and project completion before completing the application. The Application should be typed on 8-1/2 x 11 plain white paper. Applications are due November 30, 2001.

Grant Application Checklist

1. Project name
2. Project Coordinator
3. Grant Recipient
4. Congressional District
5. Federal Identification Number
6. Federal request and match
7. Detailed budget
8. Match certification
9. Indirect cost rate approval
10. Scope of work
11. List of other products to be produced
12. How work will be done
13. Work schedule
14. Historic District Commission support
15. Experience with federal funds
16. Financial Certification
17. Resolution and By Laws
18. Affirmation of Equal Opportunity
19. Debarment Certification
20. Signatures

1. List the project name
2. List the project coordinator (this shall be a person who will manage the project and have complete knowledge about the status of the project work):
 - a. name and title
 - b. address (include zip code)
 - c. daytime telephone number
3. List the grant recipient's:
 - a. name
 - b. address (include zip code)
 - c. daytime telephone number
 - d. indicate if recipient is local unit of government, quasi-public or private organization, or individual. If the recipient is a private organization or non-profit agency, submit a copy of the bylaws.
4. List the congressional district
5. Name and federal identification number for agency who will be paid the grant funds.

6. Federal funding request: (may be up to 60 percent of the project budget)

Total matching share:

Indicate the source of the matching share in the following format:

Donor: (city, non-profit, etc.)

Source: (private, city general fund, CDBG, etc.)

Kind: (cash, donated, in-kind)

Amount: \$

7. Detailed Budget

Be specific about the items included in the budget. Indicate whether they relate to the federal share or your matching share. Show your method for determining costs. Example:

	<u>Federal</u>	<u>Match</u>
Jane Smith - Project Director		
\$3,000/month X 20% X 12 months		\$7,200
Total Paid salaries		\$7,200
 Fred Keen - research		
\$5.50/hour x 20 hours for 10 weeks		\$1,100
Total Donated salaries		
 Indicate the type of fringe benefit and total. Example		
Group Health Insurance		
\$25/month/person X 12 months		\$ 300
Retirement 8%		\$ 576
 Life Insurance		
\$10/month X 12 months		\$ 120
Total Fringe		\$ 996
 Consulting Services (estimate)	\$10,000	\$10,000

Travel - List rate per mile and number of miles.

Other Costs: List other budget items not listed above that are needed to complete the project (i.e. printing, supplies, photocopies, film, etc.). Be specific, especially about any item over \$500.

8. Provide proof of the availability and the source of the match through a certification from an appropriate organization or official. This can be included in the resolution required under #18 below. Donated time must be certified. See the chapter of this manual entitled Matching Share.
9. Because of limited funding for this program, indirect costs may not exceed 20%. To claim indirect costs, you must have a negotiated indirect cost rate. Enclose a copy of the most recent approved Indirect Cost Rate Agreement signed by the cognizant Federal agency. If your rate is above the limit, you may still apply, but only the 20% indirect cost rate will be allowable.
10. Scope of Work
- Describe in detail the scope, methods, and anticipated results of the project. It may be necessary to work with Michigan Historical Center staff to refine the project scope and define the work products so they are consistent with state and federal standards. The project description should include, at a minimum, the information listed below.

Identification

Survey projects will use the Ruskin database software available at no charge from the SHPO. Contact SHPO staff about equipment needs for this software. Survey must be conducted in accordance with The Manual for Historic and Architectural Surveys in Michigan. Project personnel must meet federally defined qualifications (36CFR61).

- a. A statement of the research objective of the project: intensive, thematic or reconnaissance level survey. Intensive survey is in-field photographic inventory accompanied by research sufficient to define historic contexts and to determine which properties are eligible for the National Register of Historic Places. Thematic survey is similar to intensive except that the in-field inventory focuses on one property type (e.g. lighthouses) or one historic context (e.g. agriculture in Lapeer County from 1830 to 1945). Proposals for thematic surveys must include a detailed description of how the properties to be surveyed were identified and selected. Historical reconnaissance surveys are in-field photographic inventory accompanied by research sufficient to place the inventoried properties in historic contexts and to suggest which may warrant intensive level survey.
- b. A description of the survey methodology or research design. Topics to be addressed include, at a minimum, how fieldwork shall be conducted (e.g. complete photo documentation of all properties within a delineated historic district), what sources shall be utilized for research (e.g. local library, newspapers, tax records, oral histories), and how assessments of the documented properties shall be conducted (e.g. through use of the National Register selection criteria).
- c. A map with the survey project area clearly outlined and a verbal description of the project's boundaries. If the project is an entire city or county, include a written statement of this fact. Provide a brief summary of the overall appearance and history of this survey area, discussing such things as: population; number of settlement areas if a survey will be in a township or county; urban, rural, or neighborhood characteristics.
- d. Tentative list of historic contexts which will be addressed. A historic context is information about historic trends and properties organized by theme, time period and geographic area. Projects must use the themes listed in National Register Bulletin 15: "How to Apply National Register Criteria for Evaluation."
- e. Estimates of the number of acres that will be surveyed and the number of resources that will be documented.
- f. A brief description of prior or subsequent phases of the project, if appropriate.
- g. An explanation of the purpose of the project and how the results will be used. When computing budget costs, plan on preparing three sets of survey data; one will be kept at the local level and two will be submitted to the SHPO.
- h. State whether this project will expand the knowledge of minority history or will target minority groups.

Registration/Nomination

- a. An explanation of the purpose of the project.
- b. A map of the area to be covered and a description of the area from which properties to be nominated are drawn.
- c. Tentative list of nominations to be prepared, indicating for each the type of nomination (individual property, district, or multiple property) and the approximate number of resources of each type (buildings, structures, objects, or sites) each nomination contains. If no definite list has been developed, provide an indication of the type(s) of nomination(s) which you anticipate will be prepared and the total numbers of resources of each type which will be included in the nominations.
- d. Tentative list of historic themes, which the nominated properties will represent or exemplify for which historic context statement will be developed. A historic context is information about historic trends and properties organized by theme, time period, and geographic area. Projects should refer to National Register Bulletin 15: "How to Apply National Register Criteria for Evaluation" to determine themes.
- e. A brief description of prior or subsequent phases of the project, if appropriate.
- f. State whether this project will expand the knowledge of minority history or will target minority groups.

Planning Documents

Planning documents must conform to federal standards and be developed in coordination with the Michigan Historical Center. Preservation Shore to Shore: Michigan's Comprehensive Historic Preservation Plan is in conformance with the federal standards contained in The Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation Planning. Planning documents should allow historic preservation objectives to be integrated into a community's comprehensive plan. Planning documents might include historic district study committee reports leading to the establishment of local historic district commissions and/or the designation of local historic districts. A planning document might have an archaeological focus, some examples being the development of a predictive model for Late Woodland sites in the Upper Peninsula with management recommendations, or the study of French settlement in Monroe with management recommendations for city planners.

The planning project description should include, at a minimum:

- a. A description of how an operating plan shall be developed for the identification, registration and/or protection of historic resources.
- b. A description of the constituency for which the plan is being developed.
- c. The theme(s) selected for study and historic context development. A historic context is information about historic trends and properties organized by theme, time period, and geographic area. Projects must use the themes listed in Preservation Shore to Shore. For example, an explanation of the automobile industry in Flint from 1900 to 1945, would have the theme of industry, sub-theme automobile industry, time period 1900-1945, and geographic area city of Flint.
- d. A description of the proposed adoption of the planning product into local or regional planning processes.
- e. A brief description of prior or subsequent phases of the project, if appropriate.
- f. An explanation of the purpose of this project.
- g. State whether this project will expand the knowledge of minority history or will target minority groups.

Public Education

- a. A full description of the objective of the public education activities (such as enhanced awareness of a recently completed survey project or strategies for the protection of a specific resource). Describe the target audience, how the product will be distributed and whether one time or continued use is anticipated.
- b. Describe any relationships to the Secretary of the Interior's Standards or Preservation Shore to Shore.
- c. A brief description of prior or subsequent phases of the project, if appropriate.
- d. An explanation of the purpose of this project.
- e. If any publication is to be produced, state who will use the report, how many copies will be produced, how the reports will be distributed, and whether or not a fee will be charged.
- f. State whether this project will expand the knowledge of minority history or will target minority groups.

Restoration Planning Projects

- a. A description of the type of threat to the resource and whether the resource is under immediate threat of destruction (1-2 years or 3-4 years). Describe what will happen if this project is not done.
- b. A description of the project's importance (all must be listed in the National Register of Historic Places). Is it a National Historic Landmark? Is it individually listed? Is it a contributing building in a national register district?
- c. What are the current or planned uses for the resource?
- d. Document how your project will benefit minority, low income, or handicapped persons.

Archaeological Projects

- a. A statement of the objectives of the project and the research, management and/or planning needs the project will address. Specify whether the project is a reconnaissance ("Phase I") survey or a testing ("Phase II") project.
- b. A description of the research design, including methods and techniques to be used. Sampling methodology, the use of shovel-testing and test interval, the use of specialized equipment such as use of sonar equipment for underwater work, and similar topics should be discussed. Mention any documentary research to be conducted (site file searches, historical records etc.). Describe any other sources of information such as oral history, informant interview, and collections study. Types of records to be compiled for the project (e.g., site forms, photographs, USGS maps) should be specified.
- c. A map with the specific project area clearly outlined.
- d. Estimate of acres to be field checked and number of sites which will be found (example: 10,000 \pm 500 acres; 100 \pm 15 sites).
- e. For sites found on Phase I surveys, a preliminary assessment of the National Register potential of each site must be made along with recommendations addressing the need for further investigations. For Phase II work, list any sites to be tested, along with evaluation criteria or method of evaluating evaluation criteria. National Register forms must be prepared for any sites tested and believed to be eligible.
- f. Projects involving excavation and planning studies should be discussed with the Archaeology Section prior to submission of an application.
- g. Specify the repository for project collections and records. The repository must meet the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

Restoration Projects

If you wish to apply for restoration funding please request the A Manual for Restoration Projects.

11. Quantify other products to be produced which have not already been detailed under #6.

Identification, registration and planning projects must all include a public education component. At a minimum this would include one public meeting. Describe how this requirement will be met.

12. Indicate how work will be accomplished. If a professional will be hired, please state here that you understand that a grant award is contingent upon hiring staff who meet 36CFR61 qualifications. If work is to be done by current staff, submit resumes of those who will perform the work. Forms available from the Michigan Historical Center can assist you in evaluating whether or not your staff meet the qualifications. If present staff do not meet the federal standards, it will be necessary for you to hire a consultant who does. The Department of History, Arts and Libraries can provide assistance in locating qualified consultants. See the section on Allowable and Unallowable Costs for further information on consultant selection.

At least one member of the work force must meet the federal standards (detailed in the following pages) which are appropriate for the particular project. For example, a historic survey will require personnel who meet the qualifications for the fields of history or architectural history. The preparation of National Register nomination materials must be directed by someone meeting the professional qualifications for historian and/or architectural historian and that the actual writing of nomination texts must be carried out personally by the person who meets the federally prescribed professional qualifications.

Consultants must be competitively selected. The Department of History, Arts and Libraries must approve subcontracting at each step as it occurs. The following must be submitted:

- a. the Request for Proposals in draft and final form;
- b. a list of all consultants who were sent the request for proposals;
- c. copies of all proposals received;
- d. an analysis of the proposals including the reasons for selecting the consultant you wish to choose and how that consultant meets federal requirements; and
- e. the executed contract.

Qualifications for Project Director (regulation 36 CFR 61)

History

The minimum professional qualifications are a graduate degree in history or a closely related field; or a bachelor's degree in history or a closely related field plus one of the following: (1) at least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; or (2) substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

Archaeology

The minimum professional qualifications are a graduate degree in archaeology, anthropology, or closely related field plus: (1) at least one year of full-time professional experience or equivalent specialized training in archaeological research, administration, or management; (2) at least four months of supervised field and analytic experience in general North American archaeology; and (3) demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in prehistoric archaeology shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in historic archaeology shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period.

Architectural History

The minimum professional qualifications are a graduate degree in architectural history, art history, historic preservation, or a closely related field, with course work in American architectural history; or a bachelor's degree in architectural history with concentration in American architecture; or a bachelor's degree in architectural history, art history, historic preservation, or a closely related field plus one of the following: (1) at least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; or (2) substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

Historical Architecture

The minimum professional qualifications are a professional degree in architecture or a State license to practice architecture, plus one of the following: (1) at least one year of graduate study in architectural preservation, American architectural history, preservation planning or a closely related field; or (2) at least one year of full-time professional experience on preservation projects. Such graduate study or experience shall include detailed investigation of historic structures, preparation of historic structures, research reports, and preparation of plans and specifications for preservation projects.

13. Prepare a work schedule. This schedule, with additions or changes by the Department of History, Arts and Libraries staff, will become an attachment to the contract. The work schedule will include dates for all the following items that apply to your project:
- Dates of submission of draft Request for Proposals (RFP)
 - Due date for RFPs
 - Date of submission of Proposals and recommendations to the Department of History, Arts and Libraries
 - Execution date of subcontract
 - Submission of documentation of first year expenditures by October 15
 - Exit conference for historical/architectural surveys
 - Draft of nominations 75 days prior to project end date
 - Draft of planning studies 45 days prior to the project end date
 - Any other dates necessary to keep the project on schedule.

The schedule will also include:

For architectural/historical surveys: deadlines for completion of research, fieldwork, clerical transcription of field materials, map work, context definition, assessment, and report preparation.

For archaeological surveys: the schedule for preliminary research, fieldwork, laboratory analysis, and report preparation.

For National Register nominations: the schedule for final selection of properties, historic research of properties and contexts, preparation of nomination forms and documentation and any additional survey information which is needed.

For planning documents: the schedule for research, development and preparation of the final report.

14. Certified Local Government grant applications must include a letter of support from the local historic district commission.
15. Give a brief description of the experience your organization has in administering federal funds.
16. Include a certification from your financial manager that your organization has in place an adequate accounting system with appropriate internal controls to assure accuracy and reliability of accounting data and to encourage compliance with management standards set out in A-87 for local units of governments, A-110 for non-profit institutions, or A-21 for educational institutions. The financial management system shall:
- a. Provide accurate, current, and complete disclosure of the financial results of each grant.
 - b. Provide records that identify the source and application of funds for grant supported activities.
 - c. Provide effective control for all grant assets.
 - d. Compare actual and budget amounts for the grant.
 - e. Establish procedures for determining reasonableness, allowability, and allocability of costs in accordance with the provisions of the applicable cost principals and the terms of the grant contract.
 - f. Support accounting records by source documentation such as canceled checks, paid bills, payrolls, contract documents, etc. Separate project records must be established and identified by the grant name and number.
 - g. Follow a systematic method to assure timely and appropriate resolution of audit findings.
 - h. Recipients must comply with Federal Circular A-133 Audits of States, Local Governments and Non-Profit Organizations.

17. Include a resolution authorizing acceptance of the grant under the conditions specified in the contract and designating all authorized contract signatories. The resolution must include the names and titles of the individuals authorized to sign the contract and any contract amendments which might be necessary. When a CLG sponsors a project for a third party, a resolution authorizing individuals to sign the contract must also be provided by the third party. Non-governmental agencies must submit copies of by-laws or other documents which demonstrate who has the authority to execute a contract.

Example of a resolution for a local unit of government:

I, _____, the duly qualified and acting Clerk of _____, do hereby certify that the following resolution was adopted at a meeting of the (governing body) held on _____; is on file; has not been amended, altered or revoked; and is in full force and effect.

RESOLVED:

That the (title) is authorized and directed to file an application for (amount) for (name of project) and that upon approval of the Final Application by the Department of History, Arts and Libraries the (title) shall be authorized to sign the contract and any necessary amendments to the contract.

SEAL Signature of Clerk _____

18. Complete the appropriate Civil Rights Compliance forms which are included as an appendix to this manual. If it is determined that the applicant is not in compliance with equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected.
19. The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion must be signed and dated by the authorized representative. The form is an appendix to this manual.
20. Have all authorized signatories sign the application; also, type their names, titles, addresses (including city or town, zip code, and state), and telephone numbers.

Note: Failure to submit a timely application or failure to provide all requested information may result in your application not being scored.

RETURN ONE COPY OF THE APPLICATION TO:

Brian D. Conway, State Historic Preservation Officer
Department of History, Arts and Libraries
Michigan Historical Center
717 W. Allegan Street
Lansing, Michigan 48918-1800

CHAPTER 2

GENERAL CONDITIONS

Below are general conditions which apply to the receipt of Federal funds. These and all other applicable requirements, laws and regulations are also addressed or referenced in the contract which will be executed between your organization and the Michigan Department of History, Arts and Libraries.

A. Project Period

Project costs must be incurred between the period the contract is executed (signed and dated by the Michigan Department of History, Arts and Libraries) and the end-date of the contract. Costs which are incurred prior to the execution of the contract or after the end-date are not allowable project costs and will not be used as part of the federal or the matching share.

B. Project Scope

The scope of the project work is defined in the contract. Prior to implementing any change, the grant recipient shall notify the SHPO in writing when changes in the scope of the work are necessary. Some changes may be technical in nature and not require a formal contract amendment. Most changes will require a contract amendment. In some cases federal approval of the proposed change will be required and obtaining this approval may cause delays. So that federal funds are not jeopardized, the grant recipient shall notify the SHPO of changes immediately.

C. Project Budget

The subgrantee must notify the Department of History, Arts and Libraries of any major changes in the budget prior to implementing the change.

D. Fiscal Year End-Date and Federal Approval

Department of the Interior policy requires that all financial costs be reported at the end of each fiscal year.

To meet federal and state end of fiscal year closing deadlines, grant recipients shall submit to the Department documentation of expenditures by October 15. The October 15 report shall be accompanied by a report on work progress to date. Costs from the previous fiscal year which are not documented by October 15 will not be reimbursed.

E. Project Extensions

If during the course of the project the grant recipient believes the contract end-date cannot be met, a written request for an extension must be submitted to the SHPO prior to the contract end-date. This request must state the reason the extension is necessary. Approval of an extension will be dependent upon federal deadlines and other considerations and is not automatic. Note that project extensions may need to be approved by the Department of the Interior. Subgrantees should notify the SHPO as soon as they become aware that a contract extension may be necessary.

Contract end-dates are extended through a letter signed by the Department of History, Arts and Libraries Administrative Officer.

F. Method of Payment

All grant funds are paid on a reimbursement basis only. Documentation of all expenditures (federal and local matching share) shall be submitted to and audited by the SHPO. Department of the Interior guidelines require that reports be filed for costs within each fiscal year.

G. Completion Material/Report

The completion materials or report will be specified in the contract. Review this section of the contract carefully. Because all survey material, planning documents, and National Register research and nominations must meet state and federal standards, the contract contains specific requirements which must be complied with. Failure to meet these Standards will result in no reimbursement being made.

Survey grant recipients will be required to make an appointment with Michigan Historical Center staff to integrate survey information into the state system to assure that no errors exist. This processing, called an "exit interview," may require several days and should be planned for in your work plan.

H. Acknowledgment of Funding and Non-discrimination

In all publications, reports, and newsletters, funding through the National Park Service and the Michigan Department of History, Arts and Libraries shall be acknowledged. The acknowledgment to be used is included in the contract.

I. Audit

Financial documentation must be submitted before reimbursement can be made to the grant recipient. In addition Federal Circular A-133 requires that local units of government, non-profits, and educational institutions receiving \$300,000 or more in federal funds have an audit completed annually. A copy of the audit which covers the project period must be submitted to the SHPO within nine months after the close of the fiscal year in which payments were made. If federal funds from a project are questioned during audit, the grant recipients are liable for payback to the Department of the Interior.

J. Lobbying with Appropriated Funds

Historic Preservation Fund grants must conform to provisions of 18 USC 1913: "No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation; but this shall not prevent officers or employees of the United States or its Department or agencies from communicating to Members of Congress on the request of any Member or to Congress, through the proper official channels, requests for legislation or appropriations which they deem necessary for the efficient conduct of the public business." In summary, costs associated with activities to influence legislation pending before the Congress, commonly referred to as lobbying, are unallowable as charges to federally assisted grants.

K. Hatch Act

No officer or employee whose principal employment is connected with any activity which is financed in whole or in part with grant assistance shall take part in any of the political activity proscribed in the Hatch Political Activity Act, 5 USC 1501 et seq., as amended, with its stated exceptions.

L. Political Activities

No expenditure of grant funds may be made for the use of equipment or premises for political purposes, sponsoring or conducting candidates' meeting(s), engaging in voter registration activity or voter transportation activity, or other partisan political activities.

M. Disclosure of Information

Financial records, supporting documents, statistical records, and all other records pertinent to a grant provided by NPS are subject to disclosure to others under the Freedom of Information Act, 5 USC 552.

N. Safety Precautions

The State of Michigan assumes no responsibility with respect to accidents, illnesses, or claims arising out of any work performed under a grant-supported project. The grantee is expected to take necessary steps to insure itself and its personnel and to comply with the applicable local, State, or Federal safety standards, including those issues pursuant to the National Occupational Safety and Health Act of 1970 (see 20 CFR 1910).

O. Conflict of Interest

A conflict of interest in the selection, award, or administration of contracts is prohibited. A grant recipient shall not enter into any contract for the performance of project work whereby any current or former employee, officer, or agent of the Federal government, the State or the grant recipient, who has or had authorization to plan, develop, negotiate, accept, approve, or take part in decisions regarding subcontracts, or other agreement in connection with the particular project grant, has a financial or other interest in the recipient selected for the award. This prohibition is also effective if any member of the immediate family of such employee, officer, or agent; his or her partner; or any organization which employs, or is about to employ, any of the aforementioned, has a financial or other interest in the firm selected for the award. All subcontracts awarded pursuant to a grant must be accomplished free from bribery, graft, kickbacks, and other corrupt practices. Employees, officers, and agents of the grant recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subcontracts.

The grant recipient bears the primary responsibility for the prevention and detection of prohibited conduct and shall promptly notify the Grants Section of the Department of History, Arts and Libraries when such conduct becomes known. Federal and state administrative or other legally available remedies will be pursued to the extent appropriate. A grant recipient shall take appropriate remedial action with respect to the prohibited conduct brought to its attention.

P. Civil Rights Laws

As mandated under Title VI of the 1964 Civil Rights Act and in Executive Directive 1979-4, it is the policy of the State of Michigan to assure that all Michigan citizens receive full and equal access to benefits provided by State-supported programs and services without discrimination based upon race, color, creed, religion, national origin, height, weight, marital status, age, sex, or handicap.

It is appropriate that the Michigan Department of History, Arts and Libraries, in fulfilling that policy, assure compliance with the non-discrimination laws in connection with the use of grant funds. In furtherance of this policy, it is likewise appropriate that the Department of History, Arts and Libraries not enter into any contract, nor fund or serve as a conduit for funding, programs which may have the effect of creating or perpetrating patterns of discriminatory practice. All grant recipients shall file affidavits pledging a reasonable representation of minority group representatives, and women, in all levels of their work force and that there exists equal opportunity to participate in and enjoy the benefits of programs and activities without regard to race, color, creed, religion, national origin, height, weight, marital status, age, sex, or handicap.

Subgrantees with contracts of \$25,000 or more or employing 25 persons or more are also required to complete a written Equal Opportunity Plan.

Forms and instructions for demonstrating Civil Rights Compliance that must accompany the application are part of this manual. If it is determined that the applicant is not in compliance with equal opportunity standards as established by the Michigan Department of Civil Rights, the application will be rejected.

Q. Barrier Free Access

The U.S. Department of the Interior's Historic Preservation grant program, administered by the Department of History, Arts and Libraries, requires compliance with state and federal laws, including the Americans with Disabilities Act (ADA), concerning barrier free designs which facilitate access to grant-assisted properties by persons with disabilities. The Department of History, Arts and Libraries strongly urges each applicant and other individuals contemplating restorations of historic structures to consider the implications of such compliance at the earliest possible stage. It should be kept in mind that not all preservation work involving extant buildings or structures will trigger the need to meet the barrier-free design requirements.

Should a determination be made that barrier-free design requirements are applicable, the Michigan Barrier-Free Design Board is empowered to grant an exemption to the Michigan requirements when an applicant sufficiently shows that: 1) the proposed repairs, alterations or additions are to be performed on a building or structure listed on or eligible for listing on the National Register of Historic Places or the State Register of Historic Sites; and that 2) adherence to the barrier-free design provisions would destroy or diminish a significant feature of the building's or structure's historical character or physical integrity, or both. The applicant will make this showing at an administrative hearing conducted in Lansing by a hearings officer for the Design Board.

The governmental entity having primary administration and enforcement authority over the barrier-free design requirements can range from a city building official to various state agencies depending on where the building or structure is located and the type of function for which it is used. If you are unable to determine locally which entity you should be dealing with, you may contact the Department of Labor, Bureau of Construction Codes, Barrier-Free Design Division at (517) 322-1191 or Building Division at (517) 322-1705.

R. Coastal Zone Management

The Coastal Zone Management Act of 1972 prohibits Federal assistance to local governments which is inconsistent with the requirements of an approved coastal zone management plan. Further information may be obtained from the Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven Street, N.W., Washington, D.C. 20235.

S. Dual Compensation

If a grant recipient staff member or consultant is involved simultaneously in two or more projects supported by Federal funds, and compensation on either project is based upon a percentage of time spent, he or she may not be compensated for more than 100 percent of his/her time from any Federal funds during the time of the period of dual involvement.

T. Record Accessibility and Retention

Grant recipients will submit program, financial or other reports as are required by the Department of History, Arts and Libraries or the National Park Service. On-site inspections by the Department of History, Arts and Libraries or the National Park Service will be permitted as required to provide necessary information relevant to compliance with grant conditions.

Documentation, papers and records of the grant recipient and any subcontractor shall be kept for a minimum of three years after federal funds have been reimbursed to the grant recipient or until all claims or audit findings have been resolved.

CHAPTER 3

CONTRACT

A GRANT RECIPIENT WILL NOT BE REIMBURSED FOR ANY WORK PERFORMED BEFORE THE CONTRACT IS EXECUTED. The grant is formally awarded at the time the contract is signed and dated by the Department of History, Arts and Libraries Administrative Officer after it has been signed by an authorized representative of the grant recipient.

The contract will be written by the Michigan Department of History, Arts and Libraries and will specify:

1. description of work to be accomplished with the grant award;
2. method of and requirements for disbursement of funds, including any provisions authorizing partial reimbursement prior to the completion of all project work. Partial reimbursement is strongly discouraged by the Department of History, Arts and Libraries except for that payment which is made at the end of the first fiscal year. If the grantee needs to negotiate for partial payments because of cash flow problems, the amount and number of payments shall be determined during the application process;
3. period for completion of the project;
4. federal and state statutes, regulations, and requirements which must be followed;
5. the number and content of the completion report and/or materials.

Attachments to the contract include:

1. work schedule detailing when various tasks will be completed;
2. the project notification containing the approved budget;
3. historic survey manual or National Register nomination instructions when appropriate.

The procedures for signing the contract are:

1. copies of the contract will be mailed to the project coordinator;
2. the authorized individual(s) should sign all copies;
3. all copies should be returned to the Michigan Department of History, Arts and Libraries;
4. the contracts will be signed and dated by the Department of History, Arts and Libraries' Administrative Officer;
5. one copy of the executed contract will be returned to the project coordinator;
6. after the contract has been signed by the Department of History, Arts and Libraries' Administrative Officer, work may begin. No subcontracts should be executed until the contract with the Department of History, Arts and Libraries has been executed.

MAKE COPIES OF THIS CONTRACT AVAILABLE TO PROJECT STAFF AND TO CONSULTANTS TO ASSURE WORK MEETS THE CONTRACTUAL REQUIREMENTS.

CHAPTER 4

ALLOWABLE AND UNALLOWABLE COSTS

General

The principles governing which direct costs are allowable are determined in accordance with Federal Management and Budget Circular A-87 and A-102, and the National Park Service's Grant Manual. The following factors affect the allowability of costs.

1. The cost item must be necessary for proper and efficient conduct of grant supported activities; be reasonable and within the scope of approved work; be allowable under these principles; and, except as otherwise specified in this manual, not be a general expense required to carry out the overall responsibilities of State or local governments.
2. The cost item must be authorized or not prohibited under State or local laws or regulations.
3. The cost item must conform to any limitations or exclusions set forth in these cost principles, Federal laws, this manual, or other limitations included in the grant award as to types or amounts of cost items.
4. The cost items must be consistent with policies, regulations, and procedures that apply uniformly to both federally assisted and other activities of the unit of government or organization of which the grantee is a part.
5. The cost item must be accorded consistent treatment through application of generally accepted accounting principles and practices appropriate to the particular circumstances.
6. The cost item must not be allocable to, or included as, a cost of any other federally financed program in either the current or a prior period.
7. The cost item must be net of all applicable credits.
8. The cost must be incurred after the execution and before the end-date of the contract with the Department of History, Arts and Libraries. Costs for grants which cross federal fiscal years must be claimed at the appropriate time for each fiscal year. Costs from the previous fiscal year will not be allowable as part of the second fiscal year costs.

Allowable Costs

The SHPO will review and may make changes in the budget line items in the application as submitted. The final budget approved by the SHPO will become an attachment to the contract. Following are some examples of allowable project costs:

Paid Staff Time and In-kind Services

Compensation for project personnel during the project period including wages, salaries, and supplementary compensation and benefits. Payrolls must be supported by daily time and attendance records which shall indicate the time worked and the work performed, and be signed by the employee and supervisor. See the sample time sheet at the end of this manual. Time in excess of a regular working day is not allowable. It is recommended that time sheets not be typed. Payroll documentation must show gross wages and deductions.

Fringe Benefits

Fringe benefits for paid or in-kind employees in the form of employer's contributions to social security, life and health insurance plans, unemployment insurance coverage, worker's compensation plans, and pension plans are allowable, provided costs are distributed equitably to grant costs and other activities.

Volunteer or Donated Time

Donated service represents the value of non-cash contributions provided by the local sponsor or non-federal third parties. If donated services are part of the match, the application must include a certification from the volunteer justifying the proposed rate and stating the number of hours to be donated. In addition, a resume for each volunteer shall be submitted. Proposed rates for volunteers must be approved by the Department of History, Arts and Libraries.

A professional is defined as a person who does the work in question for a living and should be assigned a professional rate. A person not meeting this standard must be considered a non-professional and should be assigned the minimum wage as an allowable rate. You would not expect to pay a neighbor for helping paint a house at the same rate that you would a professional painter. Likewise a physician may not use his standard charge if he is working as a surveyor. A person's qualifications must be considered along with the tasks in assigning a rate to that work.

Rates assigned for donated services must be consistent with those paid at the state level or, if such services are not provided at the state level, consistent with rates which would be paid if the services were purchased in the labor market. Donated time from individuals or groups other than the grant recipient shall be exclusive of fringe benefits. The time donated will be documented when project work begins by use of time sheets as in the Appendix.

Indirect costs

Because of limited funding for this program, indirect costs may not exceed 20%. To claim indirect costs you must have a negotiated indirect cost rate. Enclose a copy of the most recent approved Indirect Cost Rate Agreement signed by the cognizant Federal approving agency. If your rate is above the limit, you may still apply, but only the 20% indirect cost rate will be allowable.

Professional/Consultant Fees

The grant recipient may subcontract all or part of the project work. Free and open competition must be maintained. The Department of History, Arts and Libraries must receive documentation of the procurement at each stage and must approve the subcontractor and the subcontract. Note that subcontractors must meet the project director qualifications outlined in Chapter 1. The following shall be submitted to the Department of History, Arts and Libraries, and each step must be approved, before the grant recipient proceeds further:

- a. Copy of the specifications or request for proposals. The RFP shall identify all evaluation factors.
- b. Documentation that bids were requested from at least three consultants and a copy of each proposal. Federal regulations require that all subcontractors certify that they have not been prohibited from participation in federal programs. Please require all bidders to complete and return the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion form with their proposals.
- c. Documentation of the evaluation of the proposals. Grant recipients may develop their own systems for evaluating proposals as long as the award is made to the responsible offeror whose proposal will be most advantageous, price and other factors considered. Unsuccessful bidders should be notified promptly.

Possible proposal evaluation criteria:

- 1) Price (35%) Favors the least expensive proposal providing an adequate work product.
- 2) Capability and qualifications (35%) Covers the ability of a prospective consultant to meet the terms of the RFP, especially the time constraints, and the quality and relevance of similar projects completed by the consultant. Emphasis will also be placed on the soundness of the consultant's approach to the problem, including the techniques to be used for collecting and analyzing data, as well as the ability to utilize the data collected or recovered from the project to address the research problems involved.
- 3) Professionalism (30%) Refers to the competence of professional personnel who will be assigned to the project by the consultant for both the administrative and infield components of the work. Qualifications of professional personnel will be measured by education and experience (36 CFR 61) with particular reference to experience on projects similar to that described in this RFP and familiarity with and experience in Michigan architecture, history and archaeology. Emphasis will be placed upon the qualifications of the project manager and the amount of dedicated management planned for this project by the consultant. It is the responsibility of the contractor to provide field personnel of sufficient qualifications and training to ensure proper collection of data. The project manager/principal investigator responsible for the adequate performance of all project work.

Note: The Michigan Historical Center can provide assistance in locating consultants who are qualified to perform project work.

- d. The Michigan Historical Center must approve a consultant you wish to hire before a subcontract is executed.
- e. A copy of the signed subcontract will be submitted to the SHPO at the time it is executed. This contract shall specify the project work and be priced at a set fee or a not-to-exceed figure and include a debarment certification form. Because the subcontract must include all work as outlined in the contract with the Department of History, Arts and Libraries and references to laws, regulations, and guidelines which your organization must pass along to the subcontractor, it is recommended that the Department of History, Arts and Libraries contract be an attachment to the subcontract.

Supplies

The cost of supplies necessary to carry out the grant work is allowable. Purchases made specifically for the grant work shall be charged at their actual prices after deducting all cash discounts, trade discounts, rebates, and allowances received by the grant recipient. Withdrawals from general stores or stockrooms should be charged at cost under a recognized method of pricing consistently applied.

The grant recipient must perform a cost analysis for all purchased supplies. The following is suggested:

<u>Value of Proposed Contract</u>	<u>Award Process Required</u>
* \$0 - \$500.00	Competition not required but encouraged.
* \$500 - \$4,999.99	Documentation of competitive pricing through phone, mail, personal shopping, fee schedules. Must use "Documentation of Contract Award" process. If a proposal with a work statement is required, "Small dollar" Request for Proposals (RFP) process must be used.
* \$5,000.00 - or more	"Small Dollar" RFP process required, formal process optional.

Travel

Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items for project personnel who are in travel status for project related work. Such costs may be charged on an actual basis or on a standard rate basis so long as the standard rate is consistent with State rates. When actual costs are used, documentation must be provided for each cost. All lodging costs must be substantiated by invoices. First-class airfare is not allowable.

Publications

Costs of publication may be allowable if the publication is defined in the application. The grant recipient must delineate how the publication relates to the Historic Preservation Program, how many copies will be printed, estimated cost per copy, and how the publication will be distributed. During the project period, all publications will be distributed free of charge.

Any publication shall contain the acknowledgment of federal funding statement and the statement of non-discrimination.

Unallowable Costs

A partial listing of unallowable costs is as follows:

Bad Debts -- Any losses arising from uncollectable accounts and other claims, and related collection costs, are unallowable.

Equipment -- The costs of equipment are not allowable.

Fundraising -- Expenses and costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions are unallowable.

Interest and Other Financial Costs -- Interest on borrowing is not allowable.

Interpretive Expenses -- Staff salaries for interpretive services or maintenance of interpretive devices are unallowable.

Entertainment -- Costs of amusements, social activities, and related incidental costs such as meals, beverages, lodgings, rentals, transportation, and gratuities are unallowable. Costs of meals for employees when they are not in travel status are not allowable.

Markers -- Historical markers are not an allowable cost

Work Study Students -- Students in a federally funded work/study program cannot contribute donated services as matching share.

CHAPTER 5

MATCHING SHARE

This is a 60-40 match program. Certification of the availability of the match must be provided with the Final Application. Certification may be a statement from a banker that funds are available, a resolution from the city council setting aside specific funds, or similar verification. The certification should specify the amount and source of the funding, that the funds are earmarked for the project, and that the funds will not be used to match other federal funds. Donated time will be certified through a certification from the person donating his/her time that he/she will donate X hours at X rate.

The matching share is approved prior to the contract. Any changes in the match must be approved by the SHPO.

Matching funds may include the following:

- Private Funds
- Municipal Funds
- In-Kind Services
- State Funds
- Federal Community Development Block Grant funds
- Donated or Volunteer Services (see note below)
- Donated Equipment or Material (see note below)

In-Kind Services may be used as match. The in-kind contributions may be valued at the grant recipient's actual cost. Fringe benefits for in-kind salary costs are allowable. In-kind salary costs will be supported by daily time records which indicate the time worked, the work performed and be signed by the employee and the supervisor (a sample timesheet is included in this manual).

Donated or Volunteer Services may be used as match. It must be approved in the Application. Volunteer services represent the value of non-cash contributions provided by non-federal third parties. If donated services are part of the match, the project sponsor shall provide documentation of the type, rate, and source of such services. Fringes may not be applied to donated services.

Rates assigned for donated services must be consistent with those paid in state government or, if services are not available in state government, the rates shall be consistent with those paid if the services were purchased in the labor market. In estimating donated match, a rate must be established at the time of application for each prospective individual donating his/her services. A resume for each volunteer must be included with the application if the rates charged are above the minimum wage rate. The time donated will be supported by daily time records which indicate the time worked, the work performed and be signed by the employee and the supervisor (a sample timesheet is included in this manual). Donated Equipment or Material may be used as match if included in the Final Application. The use of donated equipment and material must be documented. The SHPO can provide sample forms. Donated Services, equipment or material are not eligible for reimbursement as if they were cash expenditures. They may be used as match only.

CHAPTER 6

COMPLETION/REIMBURSEMENT

Funds will be disbursed to the grant recipient only on a reimbursement basis. Requests for reimbursement must include documentation of the reimbursable and match portions of the grant, although reimbursement shall not exceed the amount of the grant award. No advances shall be made under any circumstances. Partial reimbursements are strongly discouraged by the Department of History, Arts and Libraries, but may be made under exceptional circumstances if specifically provided for in the contract awarding the grant. Contracts will not be amended to provide for partial payments. Please also refer to Chapter on Allowable and Unallowable Costs.

Project Coordinators who are part of a large institution should assure that the appropriate personnel are advised of documentation requirements at the beginning of the project work.

Expenditure Documentation

All documents and supporting entries on the accounting records must be available for inspection by authorized representatives of the U.S. Department of the Interior and the Department of History, Arts and Libraries. All such records must be retained for inspection for three years after the Federal reimbursement has been received or until all claims or audit findings have been resolved. Grant projects which cross the September 30/October 1 fiscal year ending will be required to submit by October 15 the following:

1. A progress report on work accomplished; Completed products if any
2. A Request for Reimbursement form (see appendix)
3. A summary of all claimed costs through September 30 by cost category and by federal and matching share
4. Copies of invoices, time sheets, and **canceled** checks

At the end-date of the contract, the grant recipient shall submit the following:

1. Copies of the completion report and/or material as required in the contract
2. A final budget which compares the approved budget to the final expenditures
3. A Request for Reimbursement form (see appendix)
4. Copies of all invoices, time sheets and **canceled** checks

A special project account should be established for each project for auditing purposes. The account should be opened as a single purpose checking account or, in governmental units, through a separate cost account. Copies of canceled checks, time sheets, vouchers, and similar documents shall be used to substantiate expenses. Please group each set of documentation, matching checks with corresponding invoices. Attach a summary to each set of documentation itemizing the material such as:

Labor: Sarah Smith, 200 hours @ \$5.00/hr.	<u>\$1,000.00</u>
Total	\$1,000.00
Supplies: Best Photo (film)	\$ 50.00
Tom's (processing)	<u>\$110.00</u>
Total	\$160.00

Salaries and Wages

Paid

A grant recipient shall submit proof of expenditures (canceled checks) for salaries and wages. This will include in-kind services. Time spent on the project must be documented by time sheets, and the time sheets must be approved by the project coordinator. Time sheets should not be typed (see appendix for sample timesheet).

Donated

Donated time spent on the project must be logged by means of time sheets. Time sheets must indicate work performed, days and hours worked, and be signed by the employee and the supervisor (see appendix for sample timesheet).

Professors who work on a project during the summer and are not paid by a university during this period must consider their time to be donated and must therefore keep time sheets. This time will be exclusive of fringe benefits and indirect costs.

All donated time to be used toward reimbursement must have been approved in the application. Any pay rate more than minimum rate must be justified in the application.

Fringe benefits or indirect costs cannot be computed on donated time.

Supplies/Contracts**Paid**

Itemized invoices must be submitted and supported by copies of canceled checks. If a printout is used, it must be itemized so that all costs can be tracked. Invoices and canceled checks to consultants must be submitted. Cash purchases must be supported by invoices; if invoices are not attainable, itemized purchase orders or check requests from your agency must be submitted. The supporting purchase order or check request must describe each item and its price.

The grant recipient must perform a cost analysis for all purchased supplies. The following is suggested:

Value of Proposed ContractAward Process Required

* \$0 - \$500.00

Competition not required but encouraged.

* \$500 - \$4,999.99

Documentation of competitive pricing through phone, mail, personal shopping, fee schedules. Must use "Documentation of Contract Award" process. If a proposal with a work statement is required, "Small dollar" RFP process must be used.

* \$5,000.00 - or more

"Small Dollar" RFP process required; formal process optional.

Donated

Donated equipment and supplies must be listed separately. There must be a letter from the donor (not the grant recipient). This letter shall describe the type of material donated, source of material, rate charged and a statement on how the value was assigned. All donated supplies or equipment to be used toward reimbursement must have been approved with the application. Forms for verifying donation may be obtained from the SHPO.

Travel

Documentation of travel expenses must be maintained throughout the project. The documentation shall include name of employee, dates of travel, amount of travel, expenses incurred, nature of travel, point of origin, and destination. Include canceled checks as proof of payment for travel.

If standardized travel rates are used, these should be consistent with the standard State travel rates for mileage, meals and lodging. Lodging charges must be supported by a paid bill. Travel charges may only be charged to a project if a project representative is in travel status. Gasoline receipts shall be provided if gasoline costs are to be charged to the grant. Gasoline costs cannot be charged in addition to mileage for the same trip.

Indirect Cost

An indirect cost rate approval letter from your primary federal funding agency must be submitted. For universities using both off-campus and on-campus rates, a determination of where the majority of the work will be performed and the appropriate rate charged. Two different rates cannot be charged for the same project. Indirect cost is limited to the university's rate or 20% which ever rate is lowest.

Completion Report/Materials

Completion reports materials must meet the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation (copies available from the Michigan Historical Center). The content of such reports will be specified in the contract.

All completion reports/materials must be submitted to the Michigan Historical Center by the contract end-date. For historical/architectural surveys an exit conference to review the completion report/materials will be scheduled by the grant recipient with the appropriate staff. Historical/architectural survey data must be integrated into the state system prior to the contract end-date.

Each completion report will be submitted in a typed, double-spaced format on 8 1/2 x 11 inch white bond paper in a clean camera-ready form. All graphics will be in ink.

HISTORICAL AND ARCHITECTURAL SURVEYS

The following generally describe the materials to be submitted for historical and architectural surveys. Complete details are included in the survey manual attached to the contract.

1. A completed site record in the Ruskin database for each historic resource identified during the survey, which shall include minimum items of information appropriate to the type of survey conducted, whether or not they are found in a district.
2. A completed district site record in the Ruskin database for each district identified during the survey, which shall include minimum items of information appropriate to the type of survey conducted.
3. Readable maps which are representative of the areas surveyed and indicate accurate location of all sites and districts recorded during the survey.
4. An electronic image on computer disk of each site identified during the survey.
5. A final report that meets the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation and shall include the following sections: title page, credits and credentials; overview statement, research design, project area surveyed, acres surveyed, property totals, data location, previous surveys, contexts, property types, categories of information and bibliography, post-field work evaluations, assets and problems encountered, planning needs summary, list of properties, and summary statement. The Michigan Historical Center retains the right to have the grant recipient submit its final report while it is still in draft form for editing and correction. All research materials shall be transferred to the Michigan Historical Center as part of the final submission.

NATIONAL REGISTER NOMINATIONS

National Register nominations for non-archaeological properties do not require completion reports. Instead, completed nominations with photos, maps, slides and research materials are submitted by the Grantee. Nominations must follow the instructions in "How to Complete the National Register Registration Form," National Register Bulletin 16A, as modified or amplified by the specific requirements of your contract. Nomination projects must meet the Secretary of the Interior's Standards and Guidelines for Registration.

PLANNING DOCUMENTS, PUBLIC EDUCATION, AND RESTORATION PLANNING

Because projects are diverse, a grantee working in the areas of planning documents, public education, or restoration planning should consult the Michigan Historical Center and the contract with the Department of History, Arts and Libraries to determine the nature of the completion report/materials.

ARCHAEOLOGICAL PROJECTS

Every archaeological project must result in a report meeting the Secretary of the Interior's Standards and Guidelines for Archaeological Documentation. In addition, each report will include a table of contents, a list of tables, figures and plates, a report abstract, and list of references. Reports must be in American Antiquity style (see American Antiquity, 1979, 44:193-205).

Collections shall be catalogued and protected from deterioration. Collections and accompanying records must be curated in a repository meeting the Secretary of the Interior's Standards and Guidelines for Archaeological Documentation. Curation and exhibition costs are an allowable expense only for the duration of the grant.

Archaeological Survey ("Phase I") Project Specifications

1. A title for the report
2. The names of the author or authors of the report, field director and crew members, when the field work was done, and project sponsors
3. Brief history of the project, including a statement on the purpose of the investigation and the research questions being addressed
4. Description of the project area and its general environmental setting, including an exact location of the project area and its acreage
5. Description of previous research in the area, including previously known or reported sites, a statement of whether or not they were visited, and their current status
6. Description of the research design, methodology, and field and laboratory techniques employed during the survey
7. List of sites discovered during the survey identified with site numbers (e.g., 20SA670), and a description of each site, including a brief evaluation of its size, cultural significance and physical condition, and its exact location marked on a map. Site numbers should be obtained from the Office of the State Archaeologist prior to report writing.
8. Descriptions and illustrations of diagnostic artifacts
9. Interpretations and conclusions derived from the survey work
10. Make a preliminary assessment of each site for its National Register potential. Make recommendations for further research (e.g. test excavations) and management of the cultural resources within the project area (e.g. soil stabilization, acquisition, changes in land use, etc.)
11. Catalog of all artifactual material recovered during the survey; the location of the permanent repository for the collections, survey notes, photographs, etc
12. A map or maps showing the exact location(s) of the parcel(s) surveyed. Ideally this should be a photocopy of a USGS quadrangle with the precise area(s) surveyed distinctly marked.
13. A credit and civil rights statement as required in the contract

Archaeological Testing ("Phase II") Project Specifications

Archaeological testing projects are designed to provide enough documentation to determine if a site is eligible for the National Register. After field work has been completed, a meeting with the Office of the State Archaeologist staff is required to determine which of the tested sites appear to meet the criteria for listing on the National Register. Nomination documents must be prepared for any site identified as eligible.

Reports on projects involving excavation or limited testing will follow the general outline given for survey projects, with these additions:

1. Discussion of methodology shall include methods used for artifact analysis. All artifacts shall be described and evaluated, as should be other cultural remains such as floral remains or human skeletal remains. All radiocarbon dates shall be listed.
2. The description of each site shall include the precise boundaries, acreage, depth, and stratigraphy of the site. Features and artifacts shall be described. The condition of the site, including sources and degree of disturbance, both natural and human, shall be discussed. The presence of unanalyzed material with research potential (e.g. charcoal, faunal remains, historical records, etc.) shall be noted.
3. Interpretation of findings shall address topics such as the age of the site, cultural identity, and site function. Significance must be assessed in terms of site integrity, research potential, and comparison with similar sites in the region.
4. A recommendation as to whether the site meets the criteria for listing on the National Register shall be justified by supporting arguments.
5. Graphics shall include, but not be limited to, a photocopy of a USGS topographic map showing the precise location of each site; site maps showing boundaries, relationships to landmarks and topography, excavation units and features; and illustrations of representative samples of stratigraphic profiles, features and artifacts.
6. If the site is evaluated as potentially eligible for the National Register, management recommendations should address the property owner's plans for the land and his or her attitude toward protection of the site. Potential threats should be noted, and suggestions for enhancing site protection should be made.
7. The following items should be placed in an appendix: the precise location of the site, maps showing the precise location, and the property owner's name and address.
8. Include nomination forms for any sites believed, after consultation with the Office of the State Archaeologist of Michigan Historical Center, to be eligible for listing in the National Register of Historic Places. For instructions on the completion of National Register Nomination forms see Guidelines for Completing National Register of Historic Places Forms published by the U.S. Department of the Interior.

U.S. Department of the Interior

**Certification Regarding
Debarment, Suspension, Ineligibility and
Voluntary Exclusion**

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisitions and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements of this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.
5. The prospective lower tier participant further agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Michigan Department of History, Arts and Libraries
Historic Preservation Personnel Log

Historic Preservation Project Timesheet			
Project Name:			
Project Number:			
Name:			
Date	Work Description	Preservation Project Hours	Non-Project Work
Total Hours Worked			
x Rate Per Hour			
Total Value of Labor			

Employee Signature and Date

Supervisor Signature and Date

Michigan Department of History, Arts and Libraries
Historic Preservation Reimbursement Request

Project Name:		
Name of Grant Recipient:		
Address to which reimbursement should be mailed:		
City:	State	Zip Code
Federal Identification		
		For HAL use
Amount of the Grant	\$	Verified
Amount of This Request	\$	Verified
Grant Balance	\$	Verified
Total Matching	\$	Verified
Source of Cash Matching Share		
<p style="text-align: center;">Attachments:</p> <p style="text-align: center;"> <input type="checkbox"/> Itemization of Expenditures <input type="checkbox"/> Copies of Cancelled Checks <input type="checkbox"/> Copies of Invoices <input type="checkbox"/> Progress or Completion </p>		
<p>I certify that all expenditures for the above project have been made during the duration of the contract, are relevant to the project and do hereby request reimbursement. No Federal Funds have been used as match for the project unless authorized as part of the approved grant budget. Matching funds have been used to match any other Federally assisted project.</p>		
Signature of Responsible Officer	Date	Phone Number

Approvals		
Michigan Historical Center	Grant Section	Budget Director
Date:	Date:	Date:

Return Reimbursement Request Form to:
 State Historic Preservation Office, Michigan Historical Center
 Michigan Department of History, Arts and Libraries
 Lansing, MI 48918-1800

REQUEST FOR REIMBURSEMENT INSTRUCTIONS

- Enter the name of the Historic Preservation Fund project.
- Enter the name of the grant recipient.
- Enter the address where the check should be mailed.
- Enter the amount of the grant award.
- Enter the amount of the reimbursement request.
- Enter the amount of the grant award less the amount of the reimbursement request.
- Enter the total matching share for this reimbursement request.
- Enter the source of the matching share. Indicate the source of the cash match, e.g., city general fund, private funds, Community Development Block Grant funds, etc.)

Any request for reimbursement must be accompanied by documentation of both the federal and matching shares. Documentation should include an itemization of expenditures, copies of canceled checks or other proof of payment, timesheets, and invoices. The request for final payment must be accompanied by the final completion report and/or other finished product. In the case of a partial payment, a progress report will be required.

This form must be signed by the person who signed the contract or the chief financial officer. The federal identification number must be included. Payment cannot be processed without it.

**CIVIL RIGHTS MANUAL
FOR THE
HISTORIC PRESERVATION FUND PROGRAM
IN
MICHIGAN**

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This publication has been financed with Federal Funds from the National Park Service, Department of the Interior. However, the contents and opinions do not necessarily reflect the views and policies of the Department of the Interior. This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973 and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, age or handicap in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to: Office for Equal Opportunity, National Park Service, P.O. Box 37127, Washington, D.C. 20013-7127.

CIVIL RIGHTS COMPLIANCE REQUIREMENTS

I. Introduction

These procedures are issued under the authority of Title VI of the 1964 Federal Civil Rights Act, and the State of Michigan Executive Directive 1979-4. It is the policy of the State of Michigan to afford all Michigan citizens full and equal employment benefits provided by federal- and state-supported programs and services, without discrimination based upon race, color, creed, religion, national origin, age, sex or handicap.

It is appropriate that the State of Michigan, in fulfilling that policy, assure compliance with the non-discrimination provisions of state and federal laws whenever grant funds are awarded and used. It is further appropriate that the State not enter into any contract or agreement, not fund or serve as a conduit for funding, for programs which may have the effect of creating or perpetuating patterns of discriminatory practice.

All recipients of state grants and federal grants passing through the Michigan Department of History, Arts and Libraries are therefore required to file a statement pledging that there is a reasonable representation of minority group individuals and women in all levels of their work forces and that there exists equal opportunity to participate in and enjoy the benefits of all programs and activities without regard to race, color, religion, national origin, age, sex or handicap.

Subgrantees receiving sums of \$25,000 or more or employing 25 persons or more will also be required to complete a written Equal Employment Opportunity Plan.

Enclosed are instructions for completion of the Civil Rights forms that must accompany an application for a Historic Preservation grant.

If it is determined at any time that an applicant is not in compliance with the equal opportunity standards established by law, the application will be rejected or the contract terminated.

II. Definitions

As used in this document:

"Subgrantee" means any public or private agency, organization or contractor, to whom state or federal funding is extended through the Michigan Department of History, Arts and Libraries.

"Contractor" means all contractors, vendors, subcontractor, and suppliers providing goods or services directly or indirectly to a subgrantee.

"Minority persons" means (1) American Indians or Alaskan Natives. Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition; (2) Asian or Pacific Islanders. Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands, and Samoa; (3) Blacks. Persons having origin in any of the black racial groups of Africa; (4) Hispanics. Persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

"White persons" means persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

"Facility" includes all or any part of structures, equipment, or other real or personal property or interests.

"Program, activity or service" means any function conducted by any unit of the subgrantee or contractor receiving funds through the Michigan Department of History, Arts and Libraries.

"Population base" means the relevant population for the area from which the work force is drawn, (e.g., county, municipality, or geographic area).

"Handicap" means a determinable physical or mental characteristic of an individual or the history of the characteristic which may result from disease, injury, congenital condition of birth or functional disorder which characteristically is unrelated to the individual's ability to perform the duties of a particular job or position, or is unrelated to the individual's qualifications for employment or promotion, or is unrelated to the individual's ability to utilize and benefit from a program. Qualified handicapped includes a handicapped person who, with reasonable accommodation, can perform the essential functions of the job in question.

III. What Must be Submitted With the Application

- A. Recipients employing fewer than 25 employees and receiving less than \$25,000 are required to submit the following reports to the Michigan Department of History, Arts and Libraries with the application:
 - 1. The Work Force Status Report (Appendix A).
 - 2. The Affirmation of Equal Opportunity (Appendix B).
- B. Recipients employing 25 or more persons or receiving \$25,000 or more are required to submit the following reports with the application.
 - 1. The Work Force Status Report (Appendix A).
 - 2. The Affirmation of Equal Opportunity (Appendix B).
 - 3. Work Force Analysis (Appendix C)
 - 4. An Equal Employment Opportunity Plan (Appendix D).
- C. Additional Responsibilities. A subgrantee's responsibilities include requiring its contractors to file a Work Force Status Report and an affirmation of Equal Opportunity.
- D. Alternative Compliance. An subgrantee who has obtained a current Certificate of Awardability from the Michigan Department of Civil Rights (MDCR) may fulfill the minority and female reporting requirements of these procedures by submitting a copy of the Certificate to the SHPO, Michigan Department of History, Arts and Libraries.
- E. Preservation of Records. Each subgrantee/contractor is required to keep employment and other records used in preparation of the above reports for not less than six months beyond the end-date of the contract and to permit access to records by the SHPO of the Michigan Department of History, Arts and Libraries, MDCR, or the Office of Equal Opportunity to ascertain compliance with Executive Directive 1979-4 and Title VI of the Civil Rights Act.
- F. Reporting Requirements. Failure to file timely, complete and accurate documents as described above constitutes presumptive noncompliance with the obligations of recipients under Executive Order 1979-4 and Title VI of the 1964 Civil Rights Act and may be a basis for the imposition of sanctions authorized under Executive Directive 1979-4 and Title VI of the 1964 Rights Act.

IV. Equal Opportunity in the Provision of Services, Activities and Programs

- A. Prohibited Discriminatory Actions. No person in the State of Michigan shall, on the grounds of race, color, religion, national origin, age, sex or handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any contract, program or activity funded in whole or in part with funds made available through any state agency. Prohibited discriminatory actions include, but are not limited to, the following:

1. Deny any service or other benefit provided.
 2. Provide any service or other benefit to a minority, female or handicapped person which is different, or is provided in a different form, from that provided to the majority, unless such action is necessary to provide qualified handicapped persons with benefits or services provided to others.
 3. Treat a minority, female or handicapped individual differently from others in determining whether the person satisfies any admission, enrollment, eligibility, membership, or other requirement which persons must meet in order to provide any service or other benefit.
 4. Deny any person an equal opportunity to participate as an appointed member of a planning or advisory body involved in administering state or federal funds.
- B. Site Selection. Each subgrantee/contractor shall, make selections of site and location of facilities which are available to all individuals without regard to race, color, religion, national origin, age, sex or handicap.
- C. Imbalance in Services. Each subgrantee/contractor shall take action to improve any imbalance in services or facilities provided to any geographic area or specific group in order to overcome the effects of prior discriminatory practice.

V. **Equal Opportunity in Employment**

- A. General. In any program or activity funded in whole or in part with public funds, each subgrantee/contractor shall not directly or indirectly subject any individual to unlawful discrimination on the basis of race, religion, color, national origin, age, sex or handicap in its employment practices. These practices include recruitment, recruitment advertising, hiring, lay-off, termination, up-grading, demotion, transfer, rates of pay or other forms of compensation, use of facilities, and all other terms and conditions of employment.
- B. Employment Selection Procedures. MDCR, in carrying out its responsibilities under the Michigan Constitution and Act No. 453 of the Public Acts of 1976, has adopted and promulgated the Guidelines on Employee Selection Procedures as published by the U.S. Equal Employment Opportunity Commission (EEOC), to assist in establishing and maintaining equal employment opportunities. Among other things, these guidelines forbid the use of employee selection practices (e.g., tests, minimum educational levels, experience) which disqualify a disproportionate number of minorities or women for employment and which are not related to job performance.
- C. Sex Discrimination. MDCR has adopted and promulgated guidelines on sex discrimination as published by EEOC. Among special requirements relating to equal opportunity for women are:
1. There shall be no distinction based upon sex in employment opportunities, wages, hours, the granting of fringe benefits, leave, mandatory or optional retirement age, and other terms and conditions of employment.
 2. Medically verifiable disabilities caused or contributed to by pregnancy, miscarriage, therapeutic abortion, childbirth, and recovery shall be treated as temporary disabilities under any health or temporary disability insurance policy or sick leave plan. Written and unwritten employment policies and practices involving matters such as the commencement and duration of leave, the availability of extensions, the accrual of seniority and other benefits, reinstatement, and payment under any health or temporary disability insurance policies or sick leave plans, shall be applied to pregnancy disability or childbirth in the same way as they are applied to other temporary disabilities.
 3. Advertisements for employment in newspapers and other media must not express a sex preference. The placement of an advertisement in columns "Male" or "Female" is considered to be a discriminatory limitation.

4. Nothing in these procedures shall prohibit the hiring of employees of one sex, provided sex is an established bona fide occupational qualification, as provided under section 208 of Act No. 453 of 1976. A bona fide occupational qualification will be interpreted narrowly. The assumption that women are not aggressive or that co-workers or customers prefer one sex or the other does not establish a bona fide occupational qualification.
- D. Religious Discrimination. MDCR has adopted and promulgated guidelines on religious Discrimination, requiring in part that employers make "reasonable" accommodations to the religious needs of employees and applicants for employment. These procedures shall not apply to a religious corporation, association or society with respect to the employment of an individual of the same religion to perform work connected with carrying on its religious activities.
- E. National Origin. MDCR has adopted and promulgated guidelines on national origin Discrimination. In addition to the protection guaranteed to all minorities, requiring proficiency in the English language where it is not a requirement for satisfactory performance on the job is prohibited.
- F. Age. A subgrantee or contractor shall not refuse to hire, and shall not otherwise discriminate against, a person with respect to employment because of the age of that person, except as otherwise provided by law.
- G. Handicap. With regard to handicapped persons:
1. Under the obligations imposed by Executive Directive 1979-4, each subgrantee is required to take specific action to employ and advance in employment qualified handicapped individuals at all levels of employment, including the executive level. Specific action shall apply to all employment practices, including but not limited to: hiring, upgrading, demotion or transfer; recruitment or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship.
 2. Each subgrantee shall evaluate its total selection process, including training and promotion, to ensure freedom from stereotyping handicapped persons in a manner which limits their access to all jobs for which they are qualified.
 3. If a physical or mental job qualification requirement is used in the selection of applicants for employment or changes in employment status such as promotion, demotion or training and to the extent that the requirement tends to screen out qualified handicapped individuals, the requirement shall be related to the specific job for which the individual is being considered. The subgrantee shall bear the burden of demonstrating that it has complied with the requirements of this paragraph.
 4. Each subgrantee must make reasonable accommodations for the physical and mental limitations of an employee or applicant, unless the contractor can demonstrate that such accommodations would impose an undue hardship. In determining the extent of these accommodation obligations, business necessity and financial cost among other factors may be considered.

VI. Funding Approval

- A. Condition of Approval of EEO. The execution or renewal of any contract awarding a grant covered under Executive Directive 1979-4, shall be conditioned upon written approval of the subgrantee's EEO Affirmation or the Equal Opportunity Plan.
- B. Review of Reports and Program Proposals. The SHPO of the Department of History, Arts and Libraries has primary responsibility to review and accept or reject the reports and program proposals submitted by each subgrantee.
- C. Review of Remedial Action. When the subgrantee/contractor who employs more than 25 employees or receiving grants of \$25,000 or more has areas of underutilization which require a written plan, the SHPO will review any remedial action which the recipient proposes to take to determine whether the requirements of Executive Directive 1979-4 have been met.
 - 1. When the requirements appear to have been met, the recipient will be notified of acceptance on the condition that the proposed corrective action will be taken.
 - 2. When the recipient fails to submit a required plan or submits a plan that does not meet the requirements of Executive Directive 1979-4, the SHPO will notify the recipient that the plan (or lack thereof) is not acceptable, specifying each area of deficiency. If necessary, assistance shall be provided to the recipients in revising the plan to meet the Executive Directive.
- D. Review On-site. On-site compliance reviews of a subgrantee/contractor's program may be scheduled by the SHPO pending or following acceptance of a plan. Priority shall be given to any subgrant that excludes handicapped persons or that has a significant disparity between the percentage of minorities and women in the population area and the percentage in the recipient's work force.
- E. Alternative in Event of Noncompliance. When the SHPO and the subgrantee/contractor cannot agree on a mutually acceptance plan, the SHPO may:
 - 1. Declare the subgrantee/contractor unawardable and proceed as in any determination of nonperformance under the contract.
 - 2. Notify MDCR that the SHPO and the subgrantee are unable to resolve their differences. Written notice to that effect will be served on the subgrantee by the SHPO.
 - 3. Staff from MDCR will review the file, consider any additional information either party cares to submit, and offer assistance in resolving the differences in a final effort to secure voluntary compliance. Whenever an amicable resolution cannot be achieved, MDCR will issue a written determination to the SHPO that the subgrantee/contractor is or is not in compliance. Thereafter, either party may petition MDCR for a Hearing as provided for in the rules of the Michigan Civil Rights Commission.

APPENDIX A
Work Force Status Report

MINORITY POPULATION Base _____

Job Category	Total	Black		Hispanic		American Indian		Female		Minority		Handicapped	
		M	F	M	F	M	F	Total	%	Total	%	Total	%
Administrative													
Professionals													
Technicians													
Office/Clericals													
Service/Maintenance													
Total													

New Hires

New Hires Within Last Year													
Terminated													

WAGE RANGE

Annual Salary	Administrative	Professionals	Technicians	Office/Clericals	Service/Maintenance
Minimum					
Maximum					

1. Provide date of the payroll used to obtain the work force breakdown.
2. Fill-in Minority Population figure for your area. Use the Minority Population percentages on the following pages.
3. Circle each percentage which is less than minority availability for your area in the percentage Minority column.
4. Circle each percentage which is less than 42%, which is the state-wide % of Females in the labor force, in the Female column.
5. Is residence required for employees in the above classifications?

Name	
Organization	

Return Form to:

State Historic Preservation Office, Michigan Historical Center
Michigan Department of History, Arts and Libraries
717 W. Allegan
Lansing, MI 48918-7800

APPENDIX A

Instructions for Work Force Status Report

1. Every subgrantee shall submit a report on the status of the present work force to the SHPO (see next page). The report shall include the following information:
 - a. Current total number of employees, and the numbers of minority, female and handicapped employees in all levels of employment.
 - b. The percentage of minority and the percentage of female employees in all levels of employment.
 - c. The total number of employees, and the numbers of minority, female and handicapped employees hired and/or terminated for any reason within the preceding 12 months.
 - d. A calculation of the percentage of minorities in the population and women in the work force for the geographic area from which employees are drawn, based on figures obtained from the Michigan Employment Security Commission or on equally reliable source. The basis for establishing the geographic area must be included.
 - e. A comparison of the available percentage of minorities and females (d. above) and the percentage of minorities and women among the total employees. Reasonable representation for minorities and females means employing a work force which reflects the percentage of minorities and females in the population base at all job levels and in all areas. A subgrantee or contractor whose work force does not meet this standard is required to take remedial action, described in Appendices B or C.
2. The subgrantee shall submit the Work Force Status Report to:

State Historic Preservation Office, Michigan Historical Center
Michigan Department of History, Arts and Libraries
717 W. Allegan
Lansing, MI 48918-7800

**COUNTY MINORITY GROUP
POPULATION PERCENTAGES***

<u>County</u>	<u>Total Minority Percentage</u>	<u>% Black</u>	<u>% Hispanic</u>	<u>% American Indian</u>	<u>% Asian American</u>
Alcona	1.4	0.2	0.5	0.5	0.2
Alger	7.9	2.4	0.5	3.3	0.3
Allegan	5.8	1.6	3.2	0.6	0.4
Alpena	1.2	0.1	0.5	0.3	0.3
Antrim	1.9	0.1	0.5	1.2	0.1
Arenac	2.4	0.1	1.1	0.9	0.3
Baraga	12.5	0.6	0.4	11.4	0.1
Barry	1.7	0.2	1.0	0.3	0.2
Bay	5.2	1.1	3.1	0.6	0.4
Benzie	3.5	0.2	1.1	1.9	0.3
Berrien	18.2	15.3	1.7	0.4	0.8
Branch	3.6	1.6	1.1	0.5	0.4
Calhoun	13.8	10.5	2.0	0.5	0.8
Cass	9.9	7.4	1.3	0.9	0.3
Charlevoix	2.5	0.1	0.5	1.7	0.2
Cheboygan	2.9	0.1	0.3	2.2	0.3
Chippewa	18.3	6.2	0.8	10.9	0.4
Clare	1.5	0.2	0.5	0.6	0.2
Clinton	3.2	0.3	2.2	0.4	0.3
Crawford	4.2	2.1	0.6	1.2	0.3
Delta	2.6	0.03	0.3	2.1	0.2
Dickenson	1.4	0.08	0.4	0.5	0.4
Eaton	6.9	3.5	2.4	0.4	0.6
Emmet	3.9	0.5	0.5	2.7	0.2
Genesee	22.9	19.4	2.1	0.7	0.7
Gladwin	1.4	0.7	0.6	0.5	0.2
Gogebic	3.4	1.3	0.4	1.6	0.1
Grand Traverse	2.5	0.4	0.8	0.8	0.5
Gratiot	5.1	0.8	3.8	0.3	0.2
Hillsdale	1.7	0.2	0.9	0.3	0.3
Houghton	3.0	0.4	0.5	0.4	1.7
Huron	1.7	0.06	1.1	0.3	0.2
Ingham	17.7	9.7	4.8	0.6	2.6
Ionia	7.9	5.2	2.1	0.4	0.2
Iosco	4.9	2.1	1.2	0.7	0.9
Iron	1.4	0.03	0.5	0.7	0.2
Isabella	5.1	1.2	1.3	1.8	0.8
Jackson	10.2	7.9	1.5	0.4	0.4
Kalamazoo	12.4	8.8	1.8	0.4	1.4
Kalkaska	1.7	0.07	0.6	0.8	0.2
Kent	12.4	7.9	2.9	0.5	1.1
Keweenaw	0.9	0.06	0.3	0.2	0.4
Lake	14.9	13.3	0.7	0.8	0.1
Lapeer	3.2	0.6	1.9	0.4	0.3
Leelanau	4.1	0.09	1.1	2.7	0.2
Lenawee	8.3	1.5	6.0	0.3	0.5
Livingston	2.3	0.6	0.8	0.5	0.4
Luce	6.2	0.03	0.4	5.7	0.1
Mackinac	16.3	0.04	0.3	15.8	0.1

<u>County</u>	<u>Total Minority Percentage</u>	<u>% Black</u>	<u>% Hispanic</u>	<u>% American Indian</u>	<u>% Asian American</u>
Macomb	4.0	1.4	1.1	0.3	1.2
Manistee	2.8	0.2	1.5	0.9	0.2
Marquette	4.3	1.6	0.7	1.3	0.7
Mason	3.1	0.5	1.6	0.7	0.3
Mecosta	4.7	2.6	1.0	0.6	0.5
Menominee	1.9	0.02	0.2	1.5	0.2
Midland	3.7	0.9	1.4	0.4	1.0
Missaukee	1.3	0.02	0.5	0.6	0.2
Monroe	3.9	1.7	1.5	0.3	0.4
Montcalm	4.1	1.7	1.6	0.6	0.2
Montmorency	1.2	0.01	0.6	0.5	0.1
Muskegon	16.8	13.5	2.3	0.7	0.3
Newaygo	4.4	1.2	2.5	0.5	0.2
Oakland	11.5	7.1	1.8	0.3	2.3
Oceana	7.6	0.3	6.2	0.9	0.2
Ogemaw	1.4	0.09	0.5	0.7	0.09
Ontonagon	1.6	0.04	0.3	1.2	0.1
Osceola	1.8	0.3	0.7	0.6	0.2
Oscoda	1.2	0.02	0.6	0.5	0.06
Otsego	1.4	0.1	0.3	0.5	0.5
Ottawa	6.3	0.5	4.2	0.3	1.3
Presque Isle	0.9	0.08	0.3	0.3	0.2
Roscommon	1.2	0.2	0.4	0.5	0.1
Saginaw	24.1	17.1	6.2	0.3	0.5
St. Clair	4.5	2.0	1.7	0.5	0.3
St. Joseph	4.4	2.7	0.9	0.4	0.4
Sanilac	2.9	0.09	2.3	0.4	0.1
Schoolcraft	6.8	0.08	0.4	6.2	0.1
Shiawassee	2.5	0.2	1.5	0.5	0.3
Tuscola	3.8	0.8	2.1	0.5	0.4
Van Buren	11.0	6.6	3.2	0.8	0.3
Washtenaw	17.5	11.1	2.0	0.3	4.1
Wayne	43.7	40.0	2.4	0.3	1.0
Wexford	1.7	0.1	0.6	0.7	0.3

*Based on 1990 Census Data

APPENDIX B

Affirmation of Equal Opportunity

1. The subgrantee/contractor hereby affirms a policy of equal opportunity in employment and participation in and benefit from all programs, activities, and services without regard to race, color, religion, national origin, age, sex, or handicap.
2. The subgrantee/contractor hereby agrees to:
 - a. Take all remedial steps necessary to correct any under-representation of minorities or women reported on the Work Force Status Report.
 - b. To achieve a reasonably representative work force at all levels of employment.
 - c. State in all promotional, and advertising materials that all programs, services, and activities are performed without regard to race, color, religion, national origin, age, sex, or handicap and that in employment practices all applicants shall receive equal consideration.
 - d. Post, in conspicuous, place, notices setting forth the law on equal opportunity in employment and services. (Posters are available from the SHPO, Michigan Department of History, Arts and Libraries or the Michigan Department of Civil Rights.)

Name	Date
Title	
Organization	

Return Form To: State Historic Preservation Office
Michigan Department of History, Arts and Libraries, Michigan Historical Center
717 West Allegan
Lansing, MI 48918-1800

APPENDIX C

Workforce Analysis

In addition to completing Appendix A and B, a subgrantee/contractor with a contract in excess of \$25,000, or employing 25 or more persons is required to prepare the following analysis:

1. The first step in analyzing the present representation of minority and female persons accomplished by completing the work Force Status Report. If the minority and female work force in all job categories is equal to or exceeds the standard at all levels, no further analysis is required for minorities and women.
2. The first step in providing equal opportunity for handicapped persons shall be a self-evaluation that shall identify any selection, promotion or training programs which exclude or tend to exclude handicapped persons who are otherwise qualified to perform a particular job.
3. Each subgrantee/contractor is required to conduct a continuing program of self-evaluation to ascertain whether any recruitment, selection, or promotional policy directly or indirectly has the effect of denying equal opportunities to minority individuals, women, or handicapped persons.
4. In making the evaluation of employment opportunities, the subgrantee/contractor shall conduct a separate analysis for minorities, women, and handicapped persons. However, all racial and ethnic data collected should be cross-classified by sex to ascertain the extent to which minority women and minority men may be under-utilized.
5. Whenever under-utilization of minorities and women occurs or whenever conditions have resulted in the limited participation of handicapped persons, it will be necessary to identify those policies and procedures which operate to the disadvantage of minorities, women, or handicapped persons. The analysis should include:
 - a. A review of the employment selection procedures for the preceding fiscal year, including application forms, recruitment methods, interview procedures, test validity, experience/education requirements, and final selection methods to insure that minorities, women, and handicapped persons are not disadvantaged by unnecessary barriers. The number of individuals by race, sex, national origin, and handicap applying for employment within the preceding fiscal year should be compared with the number of applicants who were offered employment and those who were actually hired. Attention should be paid to the reasons for rejection and the effects on minorities, women, and handicapped persons. If such data is unavailable, the subgrantee should institute a system for the collection of such data.
 - b. A review of promotion procedures and training programs during the preceding year in order to insure that equal opportunity. The race, sex, age, national origin, and handicap of applicants who made application for promotion or training should be compared with the number who were actually promoted or trained.
 - c. For handicapped persons, the subgrantee shall invite applicants and employees who believe themselves covered by the Executive Directive and who wish to benefit under the affirmative action program to identify themselves as handicapped. The invitation shall state that the information is voluntary, and will be used only in accordance with the Executive Directive. Refusal to provide the information will not result in adverse treatment. If a handicapped person is identified the subgrantee should seek suggestions from the applicant or employee regarding proper placement and appropriate accommodation.

APPENDIX D

Equal Employment Opportunity Plan

This section applies to those plan/contractors employing 25 or more or contracts in excess of \$25,000 and who have an under-utilization of minorities and females or limited participation of handicapped persons in one or more areas. A written Equal Opportunity Plan shall specifically address the areas of under-utilization for minorities, women or handicapped persons and should include:

1. A plan for the recruitment of minorities women, and handicapped persons based on what is necessary to attract applicants including but not necessarily limited to use of advertising media patronized by women, minorities, and handicapped persons.
2. A statement of the plan's existing employment policies and practices, e.g., testing, experience and education requirements, with particular emphasis on steps which have been taken or will be taken to assure that each is job-related.
3. An evaluation of the effect the policies and practices have on minorities, women, and handicapped persons. Specific attention should be given to transfer and promotion policies and procedures, including credit for departmental seniority which may disadvantage women, minorities, and handicapped persons. Where improvement is necessary, the plan shall set forth the steps that will be taken to assure equal opportunity.
4. The equal opportunity goal is the employment of minorities and women in each job category so that the work force reflects the percentage of minorities and women found in the population base. In establishing goals and timetables for the employment of minorities and women during the life of the contract, the availability for specific job categories may be determined by the following factors:
 - a. The minority and female population of the labor area surrounding the facility;
 - b. The availability of minorities and females having requisite skills in an area in which the plan can reasonable recruit;
 - c. The availability of minorities and females within the work force who may be transferred or promoted.
 - d. The existence of training institutions capable of preparing minority persons and females in the requisite skills.

These goals should be significant, measurable, and attainable. In establishing timetables to meet the goals, the plan or contractor will consider the anticipated expansion, contraction or turnover of the work force. In no case are the goals to be viewed as rigid quotas. The purpose of setting a projected goal is to permit the plan to measure the success of the steps taken to implement equal employment opportunity. Failure to meet a goal should alert the plan that the plan is not working and that additional action is required.

5. Provision for dissemination of the Equal Employment Opportunity Plan to all personnel, applicants, and the general public.